

11046 U.S. PTO
11/19/01

DOCKET NO. 6/60901 (UR 6-11402-968)
EXPRESS MAIL NO.: EL801321811US

A

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

UTILITY PATENT APPLICATION TRANSMITTAL FORM
(only for new nonprovisional applications under 37 CFR 1.53(b))

11046 U.S. PTO
10/006760
11/19/01

COMMISSIONER FOR PATENTS
Washington, D.C. 20231
BOX: PATENT APPLICATION

SIR:

Transmitted herewith for filing is the patent application (including Specification, Claims, and Abstract, 71 pages) of:

Inventors : Shohei Koide

For : METHOD OF IDENTIFYING POLYPEPTIDE MONOBODIES WHICH BIND
TO TARGET PROTEINS AND USE THEREOF

***If a CONTINUING APPLICATION, please mark where appropriate and supply the requisite information below and in a preliminary amendment:*

☐ Continuation ☐ Divisional ☐ Continuation-In-Part (CIP)
of prior application Serial No.

Prior application information: Examiner :
Art Unit :

Enclosed are:

- ☒ 19 sheets of formal drawings.
- ☐ Signed Combined Declaration and Power of Attorney (____ pages).
- ☐ Copy of signed Combined Declaration and Power of Attorney (____ pages) from a prior application (1.63(d) (for continuation/divisional).
- ☐ Signed statement deleting inventor(s) named in prior application (____ pages) (1.63(d)(2) and 1.33(b)).
- ☐ Incorporation By Reference: The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied herewith, is considered as being part of the disclosure of the enclosed application and is hereby incorporated by reference therein.
- ☐ Assignment (____ pages) of the invention to _____.
- ☐ Assignment Transmittal Letter.
- ☐ Certified copy of a foreign priority document.
- ☐ Associate power of attorney.
- ☒ Applicant claims small entity status. (See 37 CFR 1.27.)

- ☐ Preliminary Amendment (_____ pages).
- ☐ Information Disclosure Statement, form PTO-1449 (_____ pages) and _____ references.
- ☒ **UNSIGNED** Combined Declaration and Power of Attorney (2 pages).
- ☐ Statement in Accordance with 37 CFR § 1.821(f) and computer readable 3.5" Diskette.
- ☒ A self-addressed, prepaid postcard acknowledging receipt.
- ☐ Other:


The Filing fee has been calculated as shown below:

| | (Col. 1) | (Col. 2) | SMALL ENTITY | | | LARGE ENTITY | |
|--|------------|-----------|--------------|--------|----|--------------|-------|
| FOR: | NO. FILED | NO. EXTRA | RATE | FEE | OR | RATE | FEE |
| BASIC FEE | XXXXXXXX | XXXXXXXX | XXXX | \$370 | OR | XXXX | \$740 |
| TOTAL CLAIMS | 108 - 20 = | 88 | x 9 = | \$792 | OR | x 18 = | \$ |
| INDEP CLAIMS | 9 - 3 = | 6 | x 42 = | \$252 | OR | X84 = | \$ |
| <input type="checkbox"/> MULTIPLE DEPENDENT CLAIM PRESENTED | | | x140 = | \$ | OR | x280 = | \$ |
| *If the Total Claims are less than 20 and Indep. Claims are less than 3, enter "0" in Col. 2 | | | TOTAL | \$1414 | OR | TOTAL | \$ |

- ☐ Please charge my Deposit Account No. _____ in the amount of \$ _____. **A duplicate copy of this sheet is enclosed.**
- ☒ A check in the amount of **\$1,414.00** to cover the filing fee is enclosed.
- ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 14-1138. **A duplicate copy of this sheet is enclosed.**
- ☒ Address all future communications to:

Michael L. Goldman
NIXON PEABODY LLP
Clinton Square, P.O. Box 31051
Rochester, New York 14603

Date: November 19, 2001


Edwin V. Merkel
Registration No. 40,087

NIXON PEABODY LLP
Clinton Square, P.O. Box 31051
Rochester, New York 14603
Telephone: (716) 263-1128
Facsimile: (716) 263-1600

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

| | | | | |
|------------|---|---------------------------------|---|----------------|
| Applicant | : | Shohei Koide |) | Examiner: |
| | | |) | To Be Assigned |
| Serial No. | : | To Be Assigned |) | |
| | | |) | Art Unit: |
| Cnfrm. No. | : | To Be Assigned |) | To Be Assigned |
| | | |) | |
| Filed | : | Herewith |) | |
| | | |) | |
| For | : | METHOD OF IDENTIFYING |) | |
| | | POLYPEPTIDE MONOBODIES WHICH |) | |
| | | BIND TO TARGET PROTEINS AND USE |) | |
| | | THEREOF |) | |

*Receipt date granted
is 4/19/01.
J. Chang
from OPAA*

STATEMENT PURSUANT TO 37 CFR § 1.6(e)

Commissioner for Patents
Washington, D.C. 20231
Box: Filing Date

Dear Sir:

1. I am an attorney registered to practice before the U.S. Patent and Trademark Office.
2. On Monday, November 19, 2001, I attempted to deposit patent application papers via Express Mail service of the U.S. Postal Service. The patent application papers are the same papers present in the accompanying Express Mail package.
3. In attempting to file the application papers, I personally traveled to the main post office in Rochester, New York. I was informed by a U.S. Postal Service employee that Express Mail Service was, at least temporarily, not being offered for packages directed to zip code 20231 and, therefore, my deposit of the accompanying Express Mail package was being refused.
4. Attached as Exhibit 1 is a copy of a date-stamped notice provided by the U.S. postal service, which confirms the date and time that the deposit was attempted as well as the reason for its refusal.

5. On Tuesday, November 20, 2001, I was informed by Eugenia Jones of the U.S. Patent and Trademark Office that the provisions of § 1.6(e) would be available to obtain a November 19, 2001, filing date. Ms. Jones instructed me to prepare this statement pursuant to 37 CFR § 1.6(e) and send the unopened Express Mail package and this statement via first class mail to Box Filing Date.

Respectfully submitted,

Date: November 20, 2001



Edwin V. Merkel

Registration No. 40,087

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Telephone: (716) 263-1128
Facsimile: (716) 263-1600

| Certificate of Mailing - 37 CFR 1.8(a) | |
|--|------------------|
| I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231, on the date below. | |
| Date 11/20/01 | Wendy L. Harrold |



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

| APPLICATION NUMBER | FILING/RECEIPT DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NUMBER |
|--------------------|---------------------|-----------------------|----------------------------|
| 10/006,760 | 12/10/2001 | Shohei Koide | 176/60901 (UR 6-11402-968) |

CONFIRMATION NO. 2042

FORMALITIES LETTER



OC000000007369966

Michael L. Goldman
NIXON PEABODY LLP
Clinton Square
P.O. Box 31051
Rochester, NY 14603

Date Mailed: 01/28/2002

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 65.**
- This application clearly fails to comply with the requirements of 37 C.F.R. 1.821-1.825. Applicant's attention is directed to the final rulemaking notice published at 55 FR 18230 (May 1, 1990), and 1114 OG 29 (May 15, 1990). If the effective filing date is on or after July 1, 1998, see the final rulemaking notice published at 63 FR 29620 (June 1, 1998) and 1211 OG 82 (June 23, 1998). If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000). Applicant must provide an initial computer readable form (CRF) copy of the "Sequence Listing", an initial paper or compact disc copy of the "Sequence Listing", as well as an amendment directing its entry into the application. Applicant must also provide a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). If applicant desires the sequence listing in the instant application to be identical with that of another application on file in the U.S. Patent and Trademark Office, such request in accordance with 37 CFR 1.821(e) may be submitted in lieu of a new CRF.

For questions regarding compliance to these requirements, please contact:

- For Rules Interpretation, call (703) 308-4216

- To Purchase PatentIn Software, call (703) 306-2600
- For PatentIn Software Program Help, call (703) 306-4119 or e-mail at patin21help@uspto.gov or patin3help@uspto.gov

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 3 - OFFICE COPY

EXPRESS MAIL CERTIFICATE

DOCKET NO.: 176/60901 (UR 6-11402-968)

APPLICANT: Shohei Koide

TITLE: **METHOD OF IDENTIFYING POLYPEPTIDE MONOBODIES
WHICH BIND TO TARGET PROTEINS AND USE THEREOF**


Certificate is attached to the **Patent Application including specification, claims, and abstract (71 pages) and UNSIGNED Combined Declaration and Power of Attorney Form (2 pages)** of the above-identified application.

EXPRESS MAIL NUMBER: EL801321811US

DATE OF DEPOSIT: November 19, 2001

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Commissioner for Patents, Washington, D.C. 20231, BOX: PATENT APPLICATION.

Edwin V. Merkel
(Typed or printed name of person
mailing paper or fee)


(Signature of person mailing paper
or fee)

EXPRESS MAIL CERTIFICATE

DOCKET NO.: 176/60901 (UR 6-11402-968)

APPLICANT: Shohei Koide

TITLE: **METHOD OF IDENTIFYING POLYPEPTIDE MONOBODIES
WHICH BIND TO TARGET PROTEINS AND USE THEREOF**

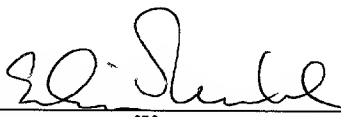
Certificate is attached to the **Utility Patent Application Transmittal Form (2 pages)**
of the above-named application.

EXPRESS MAIL NUMBER: **EL801321811US**

DATE OF DEPOSIT: **November 19, 2001**

I hereby certify that this paper or fee is being deposited with the United States Postal
Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date
indicated above and is addressed to the Commissioner for Patents, Washington, D.C. 20231,
BOX: PATENT APPLICATION.

Edwin V. Merkel
(Typed or printed name of person
mailing paper or fee)


(Signature of person mailing paper
or fee)